

107 Rec'd PCT/PTO 28 MAR 2006

SUBSTITUTE PTO-1390

<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>		ATTORNEY'S DOCKET NUMBER 14875-157US1 C1-A0308P-US
INTERNATIONAL APPLICATION NO. PCT/JP2004/014207	INTERNATIONAL FILING DATE 29 September 2004	U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) <b>1074045</b>
TITLE OF INVENTION Proteins Expressed in NK Cells		
APPLICANT(S) FOR DO/EO/US Kouji Matsushima, Shinichi Hashimoto, Masayuki Tsuchiya, Yuichi Hirata, Kenji Yoshida and Kazuyuki Ojima		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"><li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</li><li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</li><li>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</li><li>4. <input checked="" type="checkbox"/> The US has been elected (Article 31).</li><li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))<ol style="list-style-type: none"><li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li><li>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau.</li><li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li></ol></li><li>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))<ol style="list-style-type: none"><li>a. <input checked="" type="checkbox"/> is attached hereto.</li><li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li></ol></li><li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))<ol style="list-style-type: none"><li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li><li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li><li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li><li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li></ol></li><li>8. <input type="checkbox"/> An English language translation of amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li><li>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li><li>10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li></ol>		
<b>Items 11 to 20 below concern document(s) or information included:</b>		
<ol style="list-style-type: none"><li>11. <input type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.</li><li>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.</li><li>13. <input type="checkbox"/> A preliminary amendment.</li><li>14. <input type="checkbox"/> An Application Data Sheet under 37 C.F.R. 1.76.</li><li>15. <input type="checkbox"/> A substitute specification.</li><li>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</li><li>17. <input checked="" type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 C.F.R. 1.821 - 1.825.</li><li>18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li><li>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li></ol>		
<b>CERTIFICATE OF MAILING BY EXPRESS MAIL</b> Express Mail Label No. <b>EV 664069223 US</b> Date of Deposit: <b>March 28, 2006</b>		

SUBSTITUTE PTO-1390

U.S. APPLICATION NO. (If known, see 37 CFR 1.420)	INTERNATIONAL APPLICATION NO.	ATTORNEY'S DOCKET NUMBER	
107574045	PCT/JP2004/014207	14875-157US1	
<p>20. Other items or information:</p> <p>Substitute Specification (marked up version)      Substitute Specification (clean copy)      Statement of substitute Specification under 37 CFR § 1.125      Sequence Listing Statement under 37 CFR § 1.821(f)      Sequence Listing paper copy (22 pages)      International Search Report</p>			
The following fees have been submitted		CALCULATIONS PTO USE ONLY	
21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.192(a)) ..... \$300		\$300.00	
22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by the IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) ..... \$0 All other situations ..... \$200		\$200.00	
23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.92(b)) If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) ..... \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority ..... \$100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB ..... \$400 All other situations ..... \$500		\$400.00	
Total of 21, 22 and 23 =		\$900.00	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing filed in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.			
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE
-100 =	/50=		X \$250
Surcharge of \$130 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 C.F.R. 1.492(h)).		\$0.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total Claims	- 20 =		x \$50
Independent Claims	- 3 =		x \$200
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360
TOTAL OF ABOVE CALCULATIONS = \$900.00			
<input type="checkbox"/> Applicant claims small entity status. See 37 C.F.R. 1.27. Fees above are reduced by 1/2.			
SUBTOTAL = \$900.00			
Processing fee of \$130 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 C.F.R. 1.492(i)) + \$0.00			
TOTAL NATIONAL FEE = \$900.00			
Fee for recording the enclosed assignment (37 C.F.R. 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property + \$0.00			
TOTAL FEES ENCLOSED = \$900.00			
		Amount to be refunded:	\$0.00
		Amount to be charged:	\$0.00

**10/574045**

- a.  A check in the amount of \$900.00 to cover the above fees is enclosed.
- b.  Please charge my Deposit Account No. 06-1050 in the amount of \$0.00 to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c.  The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 06-1050. A duplicate copy of this sheet is enclosed.
- d.  Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 C.F.R. 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

  
SIGNATURE

Janis K. Fraser, Ph.D., J.D.

NAME

34,819

REGISTRATION NUMBER

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

10/574045

Applicant : Kouji Matsushima et al.

Art Unit : Unknown

Serial No. : To Be Assigned

Examiner : Unknown

Filed : Herewith

Title : PROTEINS EXPRESSED IN NK CELLS

**Mail Stop PCT**

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

**STATEMENT OF SUBSTITUTE SPECIFICATION UNDER 37 CFR § 1.125**

Pursuant to 37 CFR § 1.125, Applicants submit a substitute specification encompassing changes being made to the original specification. The changes to the specification add a cross-reference to related application and correct obvious errors and omissions in the original. No new matter is introduced by the attached substitution specification, and Applicants request its entry.

Also submitted herewith is a marked-up version showing the changes that have been made.

Respectfully submitted,

Date: March 28, 2006

  
\_\_\_\_\_  
Janis K. Fraser, Ph.D., J.D.  
Reg. No. 34,819 *Reg. No. 30,125*

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21295920.doc

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Express Mail Label No. EV 664069223 US

March 28, 2006

Date of Deposit

**10/574045**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Serial No. : To Be Assigned  
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Art Unit : Unknown  
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**AP5 Rec'd PCT/PTO 28 MAR 2006**

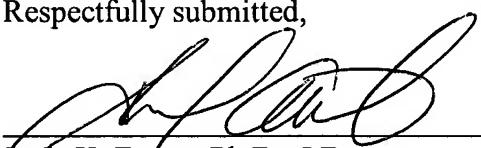
**MAIL STOP PCT**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

STATEMENT UNDER 37 CFR §1.821(f) and (g)

I hereby state, as required by 37 C.F.R. §1.821(f) and (g), that the content of the paper and computer-readable copies of the Sequence Listing filed herewith is the same. The general information has been updated to reflect accurate information for the instant application. No new matter has been added.

Respectfully submitted,

Date: March 28, 2006

  
Janis K. Fraser, Ph.D., J.D.  
Reg. No. 34,819

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